

Sample EPDS/Procedure Training Presentation



CORRECTIVE & PREVENTIVE ACTION PROCESS TRAINING UTILIZING THE EPDS APPLICATION TOOL

Peter Claypool, Pam Paul, Micki Ellis, Troy Federspiel

02/19/2010

Sample EPDS/Procedure Training Presentation

-- PLEASE SIGN IN --

Today's Agenda:

Opening Remarks	Micki
Pre-Test	Micki
Training expectations	Micki/Peter
Presentation	Micki
Break	
EPDS hands on exercise	Peter
Review of training expectations	Micki/Peter
Post-Test	Micki
Training Survey	Participants

Corrective & Preventive Action Training



Sample EPDS/Procedure Training Presentation

AGENDA

- Purpose of a CAR/PAR Program
- Key Definitions and Terminology
- Root Cause Analysis
 - Basic Steps of a CAR/PAR Process
 - Basic Problem Solving Methods
- Distinction between an NCR & CAR/PAR
- QMS Source Document
- CAR/PAR Process in EPDS
- Summary
- Questions & Answers



Sample EPDS/Procedure Training Presentation

“Quality Starts with you”

- Your participation in this training means -

You were selected because of your potential involvement in this process that will require you to execute some portion of the EPDS work flow

OR

You may have indirect involvement or be asked to contribute to the process that requires your to have a basic understanding of the CAR/PAR process

This process requires everyone’s cooperation to be successful

- THANK YOU -



Sample EPDS/Procedure Training Presentation

Purpose of a CAR/PAR Program

- Provides a formal step by step process for completing and documenting corrective or preventive actions and form the basis for effective continual improvement efforts
- Provides a formal system to correct existing and future problems
- Provides a structured approach to help determine the root cause of nonconformance's, system failures, or process problems
- Provides a method to document why something went (or may go) wrong and what will be done to make sure it does not happen again



Sample EPDS/Procedure Training Presentation

Key Definitions and Terminology

- **Corrective Action Request (CAR)** - used to identify the actions needed to eliminate reoccurrence of root cause(s) of a nonconformance in procedures, processes or PMO managed activities.



- **Preventive Action Request (PAR)** - used to identify the actions needed to eliminate the cause(s) of a potential nonconformance or other potential undesirable situation in procedures, processes or PMO managed activities before they occur.



Sample EPDS/Procedure Training Presentation

Key Definitions and Terminology

- **Corrective Action** – action to eliminate the cause of a detected nonconformance or other undesirable situation
- **Preventive Action** - action to eliminate the potential cause of a detected nonconformance or other undesirable potential situation
- **Root Cause** – identified origin of a problem
- **Objective Evidence** – data supporting the existence or authenticity of supplied information or material



Sample EPDS/Procedure Training Presentation

WHY USE EPDS for CAR/PAR

- Requirement of the Authority
- Allows tracking of the progress
- Provides a historical record of the CAR or PAR
- Provides a “one source” location for all information regarding the problem, its root cause and corrective/preventive actions taken
- Allows metrics to be generated to show process performance



Sample EPDS/Procedure Training Presentation

Root Cause Analysis (RCA)

- Seeks to identify the origin of a problem
 - In some cases there may be more than one
- Assumes that systems and events are interrelated
- An action in one area may trigger an action in another area (either intended or not)
- By tracing back, you can discover where the problem started and how it grew into the symptom you now face
- By knowing the true root cause, effective action plans can be developed to eliminate future recurrences
- By not knowing or understanding the true root cause, time and efforts are wasted and the problem will persist



Sample EPDS/Procedure Training Presentation

Basic CAR/PAR Steps

- Identify the problem, nonconformance, or incident.
- Evaluate the magnitude of the problem and impact on the Authority.
- Investigation to determine root cause
- Analysis of the problem providing an appropriate level of documentation.
- Action Plan creation listing all the tasks that must be completed to correct and/or prevent the problem (inclusive of the due date)
- Implement the plan (by the due date).
- Follow up to determine effectiveness of the actions taken to prevent the problem for recurring.



Sample EPDS/Procedure Training Presentation

Basic Problem Solving Method

➤ Asking “Why” five times

- ✓ The “Five Why’s” is a method for rapidly determining the root cause of a problem
- ✓ The method is to approach any problem and keep asking “Why” until an answer is found that shows the real source or origin of the problem.
- ✓ Over time it was determined that the “root cause” could be determined by asking “why” five times.
- ✓ The Five Why’s should be used by individuals and teams when trying to quickly assess and determine the source of problems.
- ✓ Most problems can be handled this way, however more complex critical problems typically require a more formal root-cause methodology including documenting the analysis.



Sample EPDS/Procedure Training Presentation

Tips for Problem Solving

- When defining the problem, a team approach can be very effective
- Ensure there is adequate data and objective evidence that supports the problem statement (is there really a problem)
- Brainstorm to identify all possible root causes of the problem
- Identify which causes, if removed or changed, will eliminate the problem
- Identify solutions that will prevent future recurrence and are within your control, meet your goals and objectives and do not cause other problems
- Implement the most effective recommended solution (action plan)
- Observe the implementation of the recommended solutions to ensure effectiveness over time
- Communicate successes so others may learn (lessons learned)



Sample EPDS/Procedure Training Presentation

Issuance and Responsibility for CAR/PAR

- Issuance of CAR/PAR will go to firms with contractual responsibilities to the NTTA
- Personnel identified as the “Responsible Party” will be required to complete the EPDS workflow actions
 - The “Responsible Party”, if not directly accountable, shall work with the responsible firm to generate acceptable root cause and corrective action responses
 - The “Responsible Party” will not forward CAR/PAR to subs
 - If the “Responsible Party” has been misidentified within the process, they shall contact the Quality Teams within EPDS for resolution



Sample EPDS/Procedure Training Presentation

PROCESS RESPONSE TIMES

To ensure timely resolution, the following response times have been established:

- The Quality Team has 5 business days to review and respond to the submitted CAR/PAR request
- The Responsible Party has 10 business days to respond with a root cause and corrective action plan (documented extensions permissible)
- The Quality Team has 5 business days to review and respond to the submitted root cause and corrective action plan
- The implementation date shall be mutually agreed upon by the Responsible Party and the Quality Team and will depend on the scope and complexity of the corrective action plan

NOTE: Business days are defined as Monday through Friday



Sample EPDS/Procedure Training Presentation

Distinction Between an NCR and a CAR/PAR

NCR:

Identification and tracking tool used –

- to “correct” an isolated problem when identified
- when a resolution is needed by the Authority (and documented)
- when the problem cannot be fixed and completed within 24 hours
- primarily to document and correct problems found during the construction phase of a project

CAR/PAR:

Problem solving process used -

- when a root cause investigation is needed to prevent recurrence of a problem
- when repetitive occurrences of a problem continue to occur
- to correct problems identified with process or procedural issues
- to correct problems identified as a result of an audit



Sample EPDS/Procedure Training Presentation

QMS Source Document

- QM -10 is the governing document and final authority in regards to Corrective and Preventive Action process implementation
- The document can be found on the web at:

The screenshot displays the NTTA website interface. At the top left, a browser address bar shows the URL <http://www.ntta.org/> with a red arrow pointing to it labeled '1'. Below the browser, the website header features the NTTA logo and a search bar. A red arrow labeled '2' points to the 'WORKING WITH US' button. A navigation menu on the left lists various services, with a red arrow labeled '3' pointing to the 'NTTA QMS Manual and Forms' link. At the bottom right of the page, a red arrow labeled '4' points to the 'Home' button. The main content area displays a disclaimer regarding the QMS files.

Disclaimer Regarding NTTA Quality Management System Files

This link provides access to files (Files) containing policies, processes, and procedures comprising the internal Quality Management System (QMS) of the North Texas Tollway Authority (NTTA). Firms or persons who are considering doing business with the NTTA may find the Files informative regarding the NTTA's QMS. However, the QMS and the Files are intended solely for the use and benefit of the NTTA. Accordingly, the NTTA provides electronic access to the Files to interested persons or entities ("Interested Persons") under the following terms and conditions:

- Access to the Files is provided solely as a convenience to interested persons. The Files and information in the Files do not constitute or create any contract or agreement between the NTTA and any interested Person or any other party.
- The policies, processes, and procedures set forth in the Files are solely for the NTTA's benefit. The NTTA shall have no obligations or liability to third parties regarding the QMS or the Files. At any time the NTTA determines that a change is warranted, the NTTA may modify, replace, or remove any Files without notice.
- The NTTA makes no warranty whatsoever as to the Files or descriptions thereof. The Files are provided for review "AS IS." An interested Person's use or reliance on information contained in the Files is solely at its own risk, and an interested Person accepts all risk of loss associated with its use of or reliance on the Files.
- THE NTTA SHALL HAVE NO LIABILITY FOR THE FILES OR USE THEREOF, INCLUDING ANY LIABILITY FOR NEGLIGENCE; THE NTTA DISCLAIMS ALL WARRANTIES, EXPRESS OR IMPLIED, INCLUDING, WITHOUT LIMITATION, ANY WARRANTIES AS TO THE SUITABILITY OR MERCHANTABILITY OR FITNESS FOR ANY PARTICULAR PURPOSE OF ANY FILES FURNISHED HEREUNDER OR FOR ANY PERSON'S USE OF THE FILES. IN NO EVENT SHALL THE NTTA BE LIABLE FOR ANY LOST OR ANTICIPATED PROFITS, OR ANY INCIDENTAL, EXEMPLARY, SPECIAL, OR CONSEQUENTIAL DAMAGES, REGARDLESS OF WHETHER THE NTTA HAS ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.
- Any interested Person who uses the Files or the information therein hereby indemnifies and holds harmless the NTTA, its officers, agents, and employees from and against any and all claims, actions, or demands arising with respect to its use of the Files or information therein.
- The NTTA shall have no obligation to revise or add to the QMS and/or the Files. The Files shall at all time remain the property of the NTTA.
- Access to or review of the Files by constitutes acceptance of the above terms and conditions, which constitute the final agreement with respect to the Files between and the NTTA and an interested Person who accesses the Files.

1 | Home

Sample EPDS/Procedure Training Presentation

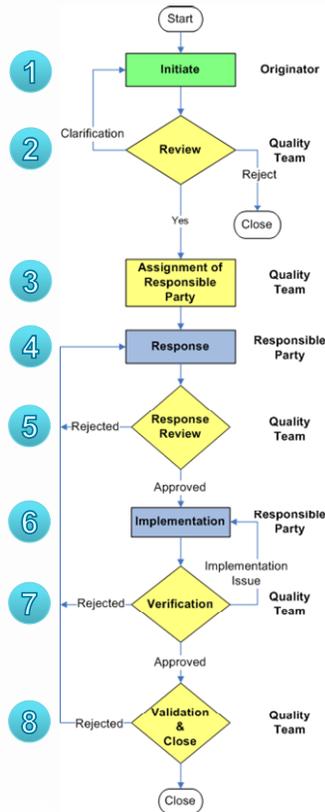
Also Available via EPDS

- Documentation specific to the currently open process is available through the EPDS help button

The screenshot displays a web browser window titled "CAR0003 | NCR | pgbt-ee - Windows Internet Explorer". The main content area shows a "Deficiency" report for "NCR: QMS Audit TLF-111709 (CAR0003)". The report includes a summary with fields for Title, Number, and Response Due Date, and a details section with a description. A red circle highlights a "Click here" button in the top right corner of the browser window. A smaller window titled "Deficiency - Windows Internet Explorer" is open, displaying a "Show" button and a list of links for further information, including "Control of Nonconforming Items - Construction (QH-09)", "EPDS Construction NCR Workflow Reference Card (QM-09-A1)", "EPDS Visual Quality NCR Workflow Reference Card (QM-09-A2)", "Control of Environmental Nonconformance (ENV-03)", "EPDS Environmental NCR Workflow Reference Card (ENV-03-A1)", "Corrective and Preventive Action (QH-10)", and "EPDS Corrective and Preventive Action Reference Card (QH-10-A1)". A right-hand sidebar contains an "FYI" message from Troy Federspiel to Peter Claypool, dated 02/16/2010, regarding a reviewed action taken as evidenced by emails.

Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEPS

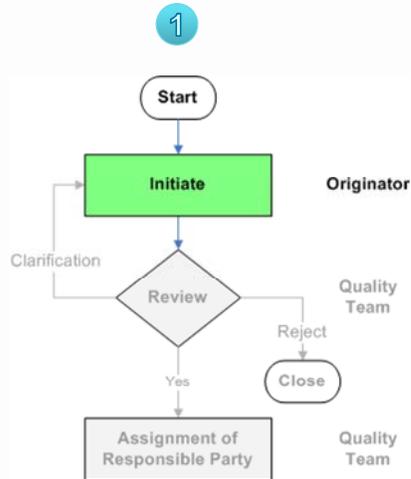


1. Originator initiates and documents a request
2. Quality Team reviews and determines if valid & complete
3. Quality Team assigns a Responsible Party
4. Responsible Party determines root causes and develops action plans
5. Quality Teams reviews root cause response and determines if action plans are adequate
6. Responsible Party implements approved action plans
7. Quality Team verifies implementation of action plans
8. Quality Team validates and closes Corrective/Preventive Action Request



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEP 1



1. Originator initiates and documents a request

Sources:

- Observed Process / Procedural -
- Internal / External Audit Findings -
- Trends -
- Customer Complaints or Feedback -

Originators shall:

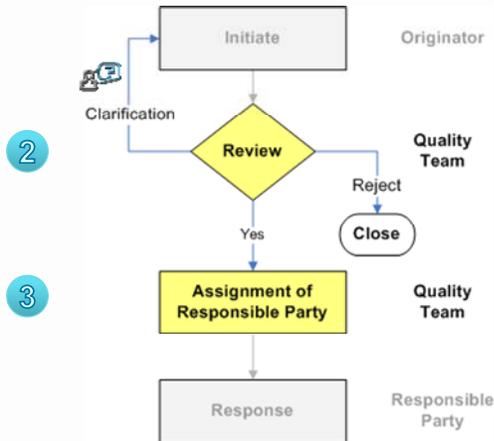
- Clearly describe the problem / issue
- Make reference to failed sections of stated requirements
- Attach relevant documents and objective evidence
- Advise as to who the “responsible party” may be



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEPS

2 3



2. Quality Team reviews and determines if valid & complete

When the Quality team finds that a CAR / PAR request is not valid they may:

- Close the request and notify the Originator
- Request clarification from the Originator

When the Quality Team finds that a CAR / PAR request is valid:

- Determine if the CAR/ PAR request will be assigned to an external oversight person (EOP) who will act and manage the process on behalf of the Quality Team in steps 4 & 6

3. Quality Team assigns a Responsible Party

- Notify the Responsible Party that a CAR / PAR has been assigned to them.



Sample EPDS/Procedure Training Presentation

EPDS PROLIANCE EMAIL NOTIFICATION



From: Proliance Notification [EPDS@ntta.org]
 To: Thomas Hunt
 Cc: Ellis, Mick; Claypool, Peter
 Subject: NCR: QMS Audit TLF101209-02_F01 (#CAR0003), Read and Review

Direct link
to EPDS

Document: [NCR: QMS Audit TLF101209-02_F01 \(#CAR0003\)](#)
 Workspace: PROJECT: President George Bush Tumpike - Corridor Wide (#4)
 From: Proliance Notification
 Date Sent: 10/13/2009 11:46 AM
 Action by: Troy Federspiel (Aquire)
 Action taken: Transitioned from - Draft
 Current state: **Active**
 Priority: Normal
 Expected Action: Read and Review
 Due Date: 10/27/2009
 Message: Tom, Per the RFI / Submittal audit from Oct 12, 2009 the attached Corrective Action has been assigned to you as the Responsible Party. Please prepare your response and forward it within the EPDS system by COB Oct 27, 2009. If you have any questions please let me know. Best regards, Troy

Your
Action

FYI: For your information

Sent By: Troy Federspiel

To: Peter Claypool

Due: 10/27/2009

Message: Tom, Per the RFI / Submittal audit from Oct 12, 2009 the attached Corrective Action has been assigned to you as the Responsible Party. Please prepare your response and forward it within the EPDS system by COB Oct 27, 2009. If you have any questions please let me know. Best regards, Troy

Recommended Action: Read and Review

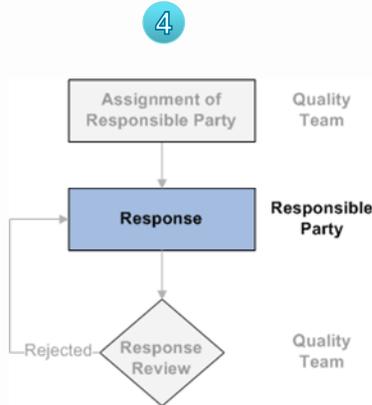
People receiving this notice:

Name	Department	Expected Action
Micki Ellis	HNTB Corporation	none
Peter Claypool	HNTB Corporation	none
Thomas Hunt	McDonough Associates, Inc.	Read and Review



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEP 4



4. Responsible Party determines root causes and develops action plans



Upon receipt of a CAR / PAR the Responsible Party shall:

- Determine the root cause of the nonconformance to achieve the aim of preventing recurrence.
- Establish the actions needed that will correct the nonconformance and prevent future recurrence
- Submit the action plan back to the Quality Team / EOP with the date upon which the corrective action will be implemented

NOTE: The “Responsible Party” does not forward CAR/PAR to subs



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEP 5



5. Quality Team / EOP reviews root cause response and determines if action plans are adequate

Upon receipt of the CAR / PAR response, the Quality Team / EOP shall evaluate the root cause and corrective action plan provided.

The Quality Team / EOP shall:

- If approved, forward the approved CAR / PAR to the Responsible Party for implementation.
- Reject the CAR / PAR back to the Responsible Party when the evaluation determines:
 - The root cause or causes has not been correctly identified
 - The action plan is not sufficient to prevent recurrence
 - Implementation dates are excessive



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEP 6



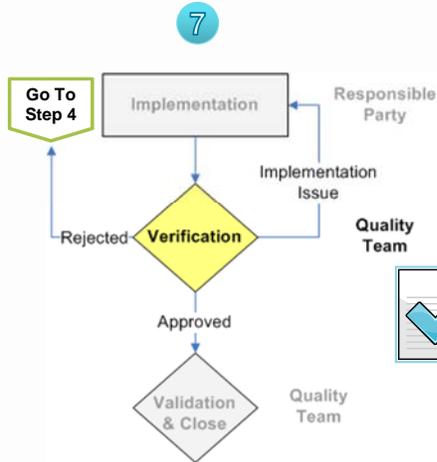
6. Responsible Party implements approved action plans

- Upon receipt of an approved CAR / PAR (or resubmission) the Responsible Party shall implement the approved action plan by the submitted implementation date.
- Any problems or issues that could cause a delay in the implementation of the CAR / PAR shall be reported to the Quality Team / EOP as soon as they are identified to request an extension.
- Once the action plans in the CAR / PAR are completed the Responsible Party shall contact the Quality Team / EOP to schedule review and verification activities.



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEP 7



7. Quality Team / EOP verifies implementation of action plans

- Confirm the action plan has been completed by the indicated date.
- Verify the actions identified in the plan have been implemented.
- Recommend CAR / PAR for closure.
- Determine and schedule follow up when additional time is needed to generate objective evidence.
- Reject the CAR / PAR to the Responsible Party when the approved action plan has not been implemented correctly
 - The Responsible Party shall be given 5 working days to correct the issues.
 - When the action plan has not achieved the intended results of eliminating the identified root cause it shall be rejected to the Responsible Party to determine a new action plan



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEP 8



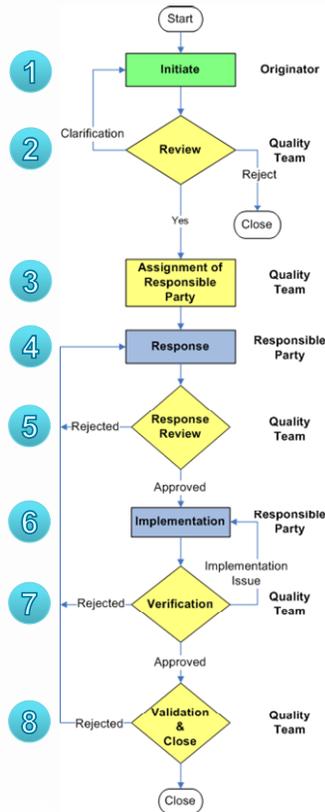
8. Quality Team validates and closes Corrective/Preventive Action Request

- Validate that the actions implemented have achieved the intended results of eliminating the identified root cause
- Schedule follow-up, when advised by the Quality Manager, to determine long term effectiveness of the action taken
- Close the CAR / PAR and notify the Responsible Party
- Reject the CAR / PAR to the Responsible Party for revision (go to step 4) when the action plan has not achieved the intended results of eliminating the identified root cause
- Notify the EOP when assigned for oversight.



Sample EPDS/Procedure Training Presentation

CAR/PAR EPDS PROCESS STEPS



1. Originator initiates and documents a request
2. Quality Team reviews and determines if valid & complete
3. Quality Team assigns a Responsible Party
4. Responsible Party determines root causes and develops action plans
5. Quality Teams reviews root cause response and determines if action plans are adequate
6. Responsible Party implements approved action plans
7. Quality Team verifies implementation of action plans
8. Quality Team validates and closes Corrective/Preventive Action Request



Sample EPDS/Procedure Training Presentation

SUMMARY

- Definition of a Corrective & Preventive Action
- QMS document QM-10, provides a detailed and fully documented procedure that describes the who, what, when and how to respond to a CAR/PAR Request (available on the NTTA web site and from within the EPDS application)
- Basic understanding of the steps needed for problem solving and determination of root cause or causes
- Determination and importance of implementing a Corrective Action that is effective at preventing recurrence of the problem
- Creation and basic workflow of a CAR/PAR in EPDS and response time expectations

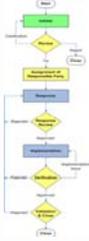


Sample EPDS/Procedure Training Presentation

QUESTIONS



- Additional **PROCESS** questions may be addressed to:



Process Questions →	Peter Claypool at:	pclaypool@ntta.org	(214-224-3019)
Process Questions →	Troy Federspiel at:	tfederspiel@ntta.org	(214-224-2468)



- Additional **EPDS TECHNICAL** questions may be addressed to:



Technical Questions →	EPDS Help desk at:	epdshelp@ntta.org	(214-224-2405)
-----------------------	--------------------	--	----------------



Sample EPDS/Procedure Training Presentation

